

Please type a plus sign (+) inside this box → ⊕

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	AP33951
First Inventor	S. Hong
Title	METHOD AND * see attached
Express Mail Label No.	ET544777021US

10/058575  
10/28/02

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 29]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
- ☒ Claim(s) [Total Sheets 8]  
☒ Abstract of the Disclosure [Total Sheets 1]
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 16]
5. Oath or Declaration [Total Pages ]
- a. ☐ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- b. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: .....

Prior application information: Examiner: .....

Group Art Unit: .....

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

21003

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Jeffrey D. Sullivan

Registration No. (Attorney/Agent)

43,170

Signature

Jeffrey D. Sullivan

Date

01/28/02

**Addendum Sheet 1**

## \*Question 4 Addendum

4.a. Drawings are ☐ formal ☐ informal

## \* Question 5 Addendum

5.c. ☐ An unsigned oath or declaration is included.

## \* Question 8 Addendum

8.d. ☐ A sequence submission will follow.

## \* Question 9 Addendum

9.a. ☐ Assignment documents will follow.9.b. ☐ Assignment documents have been filed in  
parent application No.

## \* Question 11 Addendum

11.a. ☐ English translation will follow.

## \* Question 12 Addendum

12.a. ☐ Copies of IDS citations will follow.

## \* Question 15 Addendum

15.a. ☐ Certified copies of priority documents will follow.15.b. ☐ Certified copies of priority documents have been filed in parent  
application No.

Use the space below for additional information

--

Title (continued):

METHOD AND SYSTEM FOR CONTROLLED SURFACE SCRATCH REMOVAL AND  
GLASS RESURFACING

## Addendum Sheet 2

18a. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_  
 Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

18b. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_  
 Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

18c. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_  
 Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

☐ Amend the specification by inserting before the first line the sentence(s)

☐ "This application is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ "This application is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No. \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No. \_\_\_\_\_, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No. \_\_\_\_\_, incorporated by reference herein

Priority under 35.U.S.C. §119 is claimed based upon the following applications.

### Foreign Applications:

Country: _____	Serial No: _____	Filing Date: _____
Country: _____	Serial No: _____	Filing Date: _____
Country: _____	Serial No: _____	Filing Date: _____

### Provisional Applications:

Serial No: <u>60/264,507</u>	Filing Date: <u>01/26/2001</u>
Serial No: _____	Filing Date: _____
Serial No: _____	Filing Date: _____

## FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 532

Complete if Known

Application Number

Filing Date

January 28, 2002

First Named Inventor

S. Hong

Examiner Name

Group Art Unit

Attorney Docket No.

AP33951

### METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

02-4377

Deposit  
Account  
Name

Baker Botts LLP

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status  
See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Description

(\$)

(\$)

Fee Paid

740 370 Utility filing fee

370

330 165 Design filing fee

510 255 Plant filing fee

740 370 Reissue filing fee

160 80 Provisional filing fee

SUBTOTAL (1) (\$ 370

#### 2. EXTRA CLAIM FEES

Total Claims 38 - 20\*\* = 18 x 9 = 162  
Independent Claims 2 - 3\*\* = 0 x 0 = 0  
Multiple Dependent Claims 0 = 0

Large Entity Small Entity

Fee

Fee

Fee Description

(\$)

(\$)

18 9 Claims in excess of 20

84 42 Independent claims in excess of 3

280 140 Multiple dependent claim, if not paid

84 42 \*\* Reissue independent claims  
over original patent

18 9 \*\* Reissue claims in excess of 20  
and over original patent

SUBTOTAL (2) (\$ 162

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large  
Entity  
Fee  
(\$)

Small  
Entity  
Fee  
(\$)

Fee Description

Fee Paid

130

65

Surcharge - late filing fee or oath

50

25

Surcharge - late provisional filing fee or  
cover sheet

130

130

Non-English specification

2,520

2,520

For filing a request for *ex parte* reexamination

920\*

920\*

Requesting publication of SIR prior to  
Examiner action

1,840\*

1,840\*

Requesting publication of SIR after  
Examiner action

110

55

Extension for reply within first month

400

200

Extension for reply within second month

920

460

Extension for reply within third month

1,440

720

Extension for reply within fourth month

1,960

980

Extension for reply within fifth month

320

160

Notice of Appeal

320

160

Filing a brief in support of an appeal

280

140

Request for oral hearing

1,510

1,510

Petition to institute a public use proceeding

110

55

Petition to revive - unavoidable

1,280

640

Petition to revive - unintentional

1,280

640

Utility issue fee (or reissue)

460

230

Design issue fee

620

310

Plant issue fee

130

130

Petitions to the Commissioner

50

50

Processing fee under 37 CFR 1.17(q)

180

180

Submission of Information Disclosure Stmt

40

40

Recording each patent assignment per  
property (times number of properties)

740

370

Filing a submission after final rejection  
(37 CFR § 1.129(a))

740

370

For each additional invention to be  
examined (37 CFR § 1.129(b))

740

370

Request for Continued Examination (RCE)

900

900

Request for expedited examination  
of a design application

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0

### SUBMITTED BY

Name (Print/Type)

Jeffrey D. Sullivan

Registration No.  
(Attorney/Agent)

43,170

Signature

Jeffrey D. Sullivan

Complete (if applicable)

Telephone

212-408-2586

Date

January 28, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**CERTIFICATION UNDER 37 C.F.R. 1.8(a) OR 1.10\***

*(When using Express Mail, the Express Mail label number is mandatory; Express Mail Certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington D.C. 20231.

**37 C.F.R. 1.8(a)**

☐ with sufficient postage as first class mail.

**37 C.F.R. 1.10\***

☒ as "Express Mail Post Office to Address"  
Mailing Label No. ET544777021US (mandatory)

Jeffrey D. Sullivan  
Signature

Date: 1/28/02

Jeffrey D. Sullivan  
(type or print name of person certifying)

**\*WARNING:** Each paper of fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing 37 C.F.R. 1.10(b).  
"Since the filing of correspondence under § 1.10 without the Express Mail label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition. "Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : S.Y. Hong

Serial No. : To be assigned Examiner : To be assigned

Filed : Group Art Unit: To be assigned

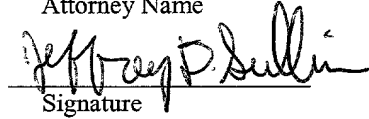
For : METHOD AND SYSTEM FOR CONTROLLED SURFACE  
SCRATCH REMOVAL AND GLASS RESURFACING

**REQUEST AND CERTIFICATE FOR NON-PUBLICATION**January 28, 2002

Date of Deposit

Jeffrey D. Sullivan

Attorney Name

  
Signature43,170

PTO Registration No.

January 28, 2002

Date of Signature

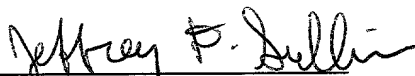
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby certify that the invention disclosed in this application has not been and will not be the subject of a patent application filed in another country, or under a multilateral international agreement, that requires publication of applications eighteen (18) months after filing. I hereby request that the attached application not be published under 35 U.S.C. § 122(b).

The Commissioner is hereby authorized to charge any fees that may be required in connection with this submission to Deposit Account No. 02-4377. A duplicate of this letter is enclosed.

Respectfully submitted,



Jeffrey D. Sullivan  
Reg. No. 43,170  
*Attorney for Applicant*

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New York, New York 10112-0228  
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